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PATENT TRADEMARK OFFICE

10978 U.S. PRO

10/076674

Docket No. 1151-4172Express Mail No. EV 062 740 832US

02/14/02



10978 U.S. PRO

↑ AFFIX CUSTOMER NO. LABEL ABOVE ↑

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**UTILITY APPLICATION AND FEE TRANSMITTAL §(1.53(b))**Commissioner for Patents
Washington, DC 20231

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s) names and addresses:

(1) Kenneth K. Sokoll
6 Stratton Lane
Stony Brook, NY 11790

(2)

☐ Additional inventors are listed on a separate sheet

For: Stabilized Synthetic Immunogen Delivery System

Enclosed Are:

86 page(s) of specification
1 page(s) of Abstract
15 page(s) of claims
12 sheets of ☒ Formal ☐ Informal drawings
9 page(s) of Declaration and Power of Attorney

- ☐ Unsigned
☒ Newly Executed
☐ Copy from prior application
☐ Deletion of inventors including Signed Statement under 37 C.F.R. §1.63(d)(2)

☐ **REQUEST AND CERTIFICATION UNDER 35 U.S.C. §122(b)(2)(B)(i) (form PTO/SB/35)**

As indicated on the attached Request and Certification, Applicant(s) certify that the invention disclosed in the attached application HAS NOT and WILL NOT be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. Applicant(s) therefore request(s) that the attached application NOT be published under 35 U.S.C. §122(b).

☐ **Incorporation by Reference:**

☐ The entire disclosure of the prior application, from which a copy of the combined Declaration and Power of Attorney is supplied herein, is considered as being part of the disclosure of the accompanying application and is incorporated herein by reference.

☐ **Deletion of Inventors (37 C.F.R. §1.63(d) and §1.33(b))**

Signed statement attached deleting inventor(s) named in the prior application serial no. _____, filed _____.

☒ **Microfiche Computer Program (Appendix)**

☒ page(s) of Sequence Listing

☒ computer readable disk containing Sequence Listing

☒ Statement under 37 C.F.R. §1.821(f) that computer and paper copies of the Sequence Listing are the same

☒ **Assignment Papers (assignment cover sheet and assignment documents)**

☒ A check in the amount of \$40.00 for recording the Assignment

☐ Charge the Assignment Recordation Fee to Deposit Account No. 13-4500, Order No. _____.

☐ Assignment Papers filed in the parent application Serial No. _____.

☐ **Certification of chain of title pursuant to 37 C.F.R. §3.73(b)**

☐ **Priority is claimed under 35 U.S.C. §119 for:**

Application No(s). _____, filed _____, in _____ (country).

☐ Certified Copy of Priority Document(s) [_____]

☐ filed herewith

☐ filed in application Serial No. _____, filed _____.

☐ English translation document(s) [_____]

☐ filed herewith

☐ filed in application Serial No. _____, filed _____.

☐ **Priority is claimed under 35 U.S.C. §119(e) for:**
Provisional Application No. _____, filed _____.

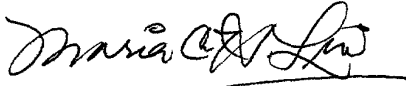
- ☐ Information Disclosure Statement
- ☐ Copy of [] cited references
- ☐ PTO Form-1449
- ☐ References cited in parent application Serial No. _____, filed _____.
- ☐ Related Case Statement under 37 C.F.R. §1.98(a)(2)(iii)
- ☐ A copy of related pending U.S. Application(s) Serial No(s): _____, filed _____, respectively, is attached hereto.
- ☐ A copy of related pending U.S. Application(s) entitled, _____, filed _____ to inventor(s) _____, respectively, is attached hereto.
- ☐ A copy of each related application(s) was submitted in parent application serial no. _____, filed _____.
- ☐ Preliminary Amendment
- ☒ Return receipt postcard (MPEP 503)
- ☐ This is a ☐ continuation ☐ divisional ☐ continuation-in-part of prior application serial no. _____, filed _____, to which priority under 35 U.S.C. §120 is claimed.
- ☐ Cancel in this application original claims _____ of the parent application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)
- ☐ A Preliminary Amendment is enclosed. (Claims added by this Amendment have been properly numbered consecutively beginning with the number following the highest numbered original claim in the prior application).
- ☐ The status of the parent application is as follows:
- ☐ A Petition for Extension of Time and a Fee therefor has been or is being filed in the parent application to extend the term for action in the parent application until _____.
- ☐ A copy of the Petition for Extension of Time in the co-pending parent application is attached.
- ☐ No Petition for Extension of Time and Fee therefor are necessary in the co-pending parent application.
- ☐ Please abandon the parent application at a time while the parent application is pending or at a time when the petition for extension of time in that application is granted and while this application is pending has been granted a filing date, so as to make this application co-pending.
- ☐ Transfer the drawing(s) from the parent application to this application
- ☐ Amend the specification by inserting before the first line the sentence:
This is ☐ continuation ☐ divisional ☐ continuation-in-part of co-pending application Serial No. _____, filed _____.

I. CALCULATION OF APPLICATION FEE				
	Number Filed	Number Extra	Rate	Basic Fee \$740.00/370.00
Total Claims	339- 20 =	319x	\$18.00/ \$9.00	\$ 2,871.00
Independent Claims	1- 3 =	0x	\$84.00/ \$42.00	\$ 0
<input checked="" type="checkbox"/> Multiple Dependent Claims		If marked, add fee of \$280.00 (\$140.00)		\$ 140.00
TOTAL:				\$ 3,381.00

- ☒ Small entity status is or has been claimed. Reduced fees under 37 C.F.R. §1.9 (f) paid herewith
\$3,381.00.
- ☐ A check in the amount of \$ _____ in payment of the application filing fees is attached.
- ☐ Charge fee to Deposit Account No. 13-4500, Order No. _____. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for filing this application pursuant to 37 CFR §1.16, **including all extension of time fees pursuant to 37 C.F.R. § 1.17 for maintaining copendency** with the parent application, or credit any overpayment to Deposit Account No. 13-4500, Order No. 1151-4172. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,
MORGAN & FINNEGAN, L.L.P.

By:



Maria C.H. Lin

Registration No. 29,323

Dated: February 14, 2002

Correspondence Address:

MORGAN & FINNEGAN, L.L.P.
345 Park Avenue
New York, NY 10154-0053
(212) 758-4800 Telephone
(212) 751-6849 Facsimile

02-19-02

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JC903 U.S. PTO
02/14/02

PATENT
Docket No. 1151-4172

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Kenneth K. Sokoll Group Art Unit: To be Assigned
Serial No. : To Be Assigned Examiner: To be Assigned
Filed : Herewith (February 14, 2002)
For : **STABILIZED SYNTHETIC IMMUNOGEN DELIVERY SYSTEM**

EXPRESS MAIL CERTIFICATE

Express Mail Label No. EV 062 740 832US

Date of Deposit February 14, 2002

I hereby certify that the following attached paper(s) and/or fee

1. Utility Application and Fee Transmittal (in duplicate);
2. Patent Application (Specification - 86 pages, 15 pages of claims, 12 sheets of drawing; and 1 page Abstract);
3. Patent Application Bibliography Sheet;
4. Executed Combined Declaration and Power of Attorney;
5. Check of 3,381.00 for filing fee;
6. Recordation Form Cover Sheet Pursuant to 37 C.F.R. § 3.31;
7. Assignment of Application for Patent;
8. Check of \$40.00 for recording fee;
9. Statement Under 37 CFR§ 1.821(f);
10. One Computer Readable Diskette (ASCII);and
11. Return Receipt Postcard

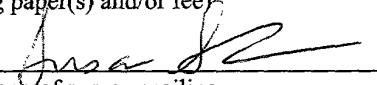
is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under

37 C.F.R. §1.10 on the date indicated above and is addressed to the Commissioner for Patents, Washington,

D.C. 20231.

Susan Shen

(Typed or printed name of person
mailing paper(s) and/or fee)


(Signature of person mailing
paper(s) and/or fee)

CORRESPONDENCE ADDRESS:
MORGAN & FINNEGAN, L.L.P.
345 Park Avenue
New York, New York 10154
(212) 758-4800
(212) 751-6849 Facsimile

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Kenneth K. Sokoll
Serial No. : TBA Group Art Unit: TBA
Filing Date : Herewith (February 14, 2002) Examiner: TBA
For : Stabilized Synthetic Immunogen Delivery System

Commissioner for Patents
Washington, D.C. 20231

STATEMENT UNDER 37 C.F.R. §1.821(f) or §1.825(b)

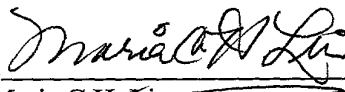
Sir:

I hereby certify that:

- ☒ [X] The paper Sequence Listing and computer readable Sequence Listing submitted herewith are identical (37. C.F.R. §1.821(f)). No new matter is presented (37 C.F.R. §1.825(a)).
- ☐ [] The substitute paper Sequence Listing and substitute computer readable Sequence Listing submitted herewith are identical. No new matter is included (37 C.F.R. §1.825(b)).

Respectfully submitted,
MORGAN & FINNEGAN, L.L.P.

Dated: February 14, 2002

By: 
Maria C.H. Lin
Registration No. 29,323

Mailing Address:
MORGAN & FINNEGAN, L.L.P.
345 Park Avenue
New York, New York 10154
(212) 758-4800
(212) 751-6849 Telecopier

Case No. 1151-4172 Serial No. TBA

Date Mailed February 14, 2002 ATTY MCHL

Date Due in the Patent Office



The return of this post card, properly stamped, will
acknowledge receipt in the Patent & Trademark Office
of the following:

1. Utility Application and Fee Transmittal (in duplicate);
2. Patent Application (Specification - 86 pages, 15 pages of claims,
12 sheets of drawing; and 1 page Abstract);
3. Patent Application Bibliography Sheet;
4. Executed Combined Declaration and Power of Attorney;
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9. Statement Under 37 CFR § 1.821(f);
10. One Computer Readable Diskette (ASCII); and
11. Express Mail Certificate #EV 062 740 979US; and
12. Return postcard